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Ethics **POLL**



Survey Report

Prepared for

Company XYZ

November 30, 2013

November 30, 2013

Dear John Smith,

EthicsPoll™ is pleased to present the 2013 Company XYZ EthicsPoll Survey results.

Of the 382 employees invited to take the survey, 295 responded. This yielded a 77% survey response rate, which is excellent participation for an email distribution survey (a 60% response rate is typically considered “very good”). Your 77% response rate and census verification indicates that the survey results are representative of the target population and provide accurate, useful results.

Thank you for allowing us to work with your team to develop the highly successful web survey presented during the interactive polling event held on your annual corporate event day.

The results presented in this report suggest that you have a good company. Excellence comes from being really good. We do not have sufficient comparison company data to tell you your relative goodness to others. Please read this report from that perspective. As you know, it takes work to be and stay good so we offer you a few recommendations to consider in your pursuit of excellence.

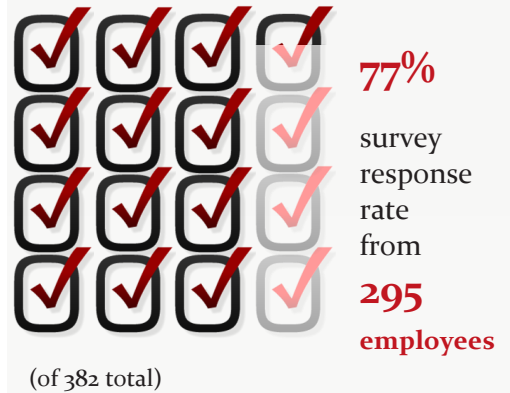
If you have any questions regarding this survey report, please call or email.

Regards,

Bob Brown

Survey Administrator & Practitioner

www.EthicsPoll.org



(of 382 total)

Company XYZ

Ethics Index Score

71%

2.1

Overall, the results suggest that Company XYZ has an

average

ethical climate with opportunities for improvement (no substantial comparison data is available yet).

How to Read This Report

This document is organized into sections for easy navigation. If you received this document as a PDF, the Bookmarks pane contains a bookmarked table of contents.

Executive Summary

The Executive Summary provides an overview of the key findings, recommendations and next steps for Company XYZ.

Methodology & Design

This section describes the preparation, methodology and procedures, and survey design used to distribute and collect feedback during the EthicsPoll Survey preparation and launch.

Summary of Results

This section is divided by Ethical Attribute, including the overall weighted average and key findings for each. For benchmarking purposes, the results of other companies who have taken the EthicsPoll Survey are also shown.

Organizational strengths are indicated by a green checkmark symbol: 

Weaknesses are indicated by a red x-mark symbol: 

Recommendations

This section describes suggested areas to focus on including “Quick Win” Solutions (to reduce pain points) or corrective actions (to address areas where systemic root causes may exist) that may build good will among employees. A green traffic signal represents areas to continue to strengthen. Yellow indicates areas to monitor. Red indicates where systemic ethical gaps may exist. The Recommendations section includes our proposed Ethics Improvement Process (EIP). This six step action plan is only the start of a roadmap to your organization’s desired ethical climate.



Interactive Polling Results

Contains live polling session results from “Living our Values” event November 1, 2013 along with the demographic splits conducted to set up the polling. These demographics splits may not correlate directly with the demographic and firmographic data from the web portion of the EthicsPoll survey.

Survey Results by Question

This portion of this report contains large, detailed charts and tables for each survey question in the EthicsPoll Survey, including demographics and firmographics.

Survey Design & Scoring

Web-based Survey

The EthicsPoll Survey was administered via web-based URL using our proprietary survey platform. The survey was launched on Tuesday, October 15, 2013 and remained open for eight (8) business days. All responses were anonymous.

Employees on the census list received all survey-related communications from John Smith’s office. These communications included a survey announcement email, an invitation to complete the launched survey, and two reminder emails. The survey closed on Thursday, October 24, 2013 and an initial verification and data extraction were performed.

Organization-specific Questions

In addition to the EthicsPoll core survey, custom questions addressed specific points identified with leaders and Human Resources representatives from Company XYZ. Development of these questions included a review of the Company XYZ 2012 employee satisfaction survey results.

Response Scales

- ◆ Radio-button multiple choice questions (only one answer may be selected)
- ◆ Bi-polar, 5-point frequency scales: Never, Rarely, Sometimes, Often, Always
- ◆ Bi-polar, 7-point agreement scales: Completely Disagree, Disagree, Somewhat Disagree, Neither Agree nor Disagree, Somewhat Agree, Agree, Completely Agree
- ◆ Sliding numerical scales with descriptive labels: 0=“Completely Dissatisfied” to 100=“Completely Satisfied”
- ◆ Drag-and-drop stack ranking with descriptive labels
- ◆ Open text boxes

Scoring

Responses for each survey question were scored on a weighted point scale ranging from -5 to 5. A score of 5 corresponds to a 100% , or perfect score, while a score of -5 corresponds to 0%. These weighted scores and percentages were used to color-code each question’s score using the table below:

Survey Response	No															Yes		
Survey Response					Often					Sometimes	Rarely					Never		
Survey Response	Always															Completely Disagree		
Survey Response	Completely Agree					Agree					Somewhat Agree	Neither A nor D	Somewhat Disagree			Disagree		
SCORE	5.0	4.5	4.0	3.5	3.0	2.5	2.0	1.5	1.0	0.0	-1.0	-2.0	-3.0	-4.0	-5.0			
Percentage	100%	95%	90%	85%	80%	75%	70%	65%	60%	50%	40%	30%	20%	10%	0%			
Indicator																		

Ethical Attribute Score

The EthicsPoll Survey questions represented six (6) *Ethical Attributes*, plus additional questions to explore organization-specific culture and areas of interest (see the Results section for definitions of individual attributes). The EthicsPoll survey for Company XYZ included these Ethical Attributes:

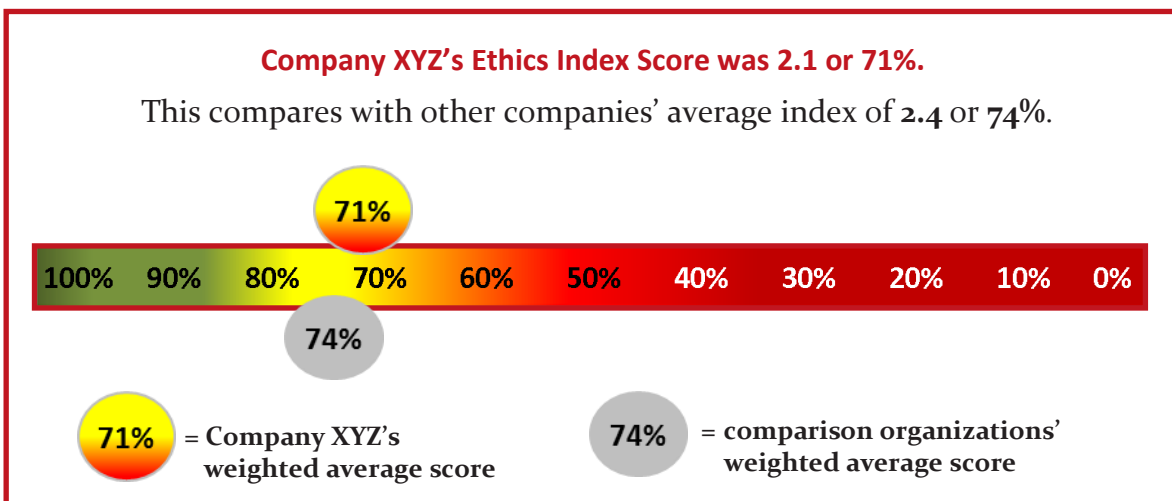
An organization’s *Ethical Attribute Scores* are the average weighted point scores of survey questions for that attribute (see Methodology section for further details on scoring). Ethical Attribute Scores are summarized on the following page.

- ◆ Priorities
- ◆ Justice
- ◆ Leadership
- ◆ Trust
- ◆ Job Knowledge
- ◆ Misconduct

Ethics Index Score

The organization’s *Ethics Index Score* is the weighted average of the six Ethical Attributes contained in the EthicsPoll Survey. As a relative measure of ethical climate, we compare both each organization’s Ethical Attribute Scores and Ethics Index Score to the corresponding scores of other companies that have completed the EthicsPoll Survey (*Note that the database of comparative data will increase over time, and periodic updates will be provided*).

Organization-specific culture and areas-of-interest questions are not included in the calculation of Ethical Attribute Scores or the Ethics Index Score. These questions are discussed in the Results section.



Census Verification

A census of employee data was conducted to provide a comprehensive overview of the employee population. This data allowed us to systematically acquire and record information about the organization’s employees (the population under analysis) required for proper survey validation. All responses remained anonymous.

Our census included 382 Company XYZ employees based in multiple locations in and outside of Rochester. Stratified sampling frames were used to divide employees into homogenous subgroups by examining additional demographic and firmographic information, which was provided by Human Resources and uploaded to the EthicsPoll database. We used these stratified samples to ensure accurate representation of the organization’s population in the survey results.

The key subgroups identified in the employee population included:

- ◆ Gender
- ◆ Ethnicity or race
- ◆ Age
- ◆ Office Location
- ◆ Business Segment
- ◆ Pay Grade
- ◆ Length of Service
- ◆ Employment Status
- ◆ Payroll Status

The census data provided to EthicsPoll contained three (3) demographic sampling frames and six (6) firmographic sampling frames (see Survey Results by Question section for complete census tables).

Of the 382 employees invited to complete the survey, 295 provided responses, resulting in a 77% survey response rate for all three demographics (gender, EEOC and age). These results yield a 95% confidence level with a ± 2.7 confidence interval.

Survey responses underrepresented the racial/ethnic minority. Only 23 of 42 minority individuals completed the survey (55% response rate). These results yield a 95% confidence level with a ± 13.9 confidence interval for data from minority individuals.

The Construction Inspection group was also underrepresented, with only 7 of 31 individuals providing survey responses (23% response rate). These results yield a 95% confidence level with a ± 33.1 confidence interval for data from individuals in the Construction Inspec-

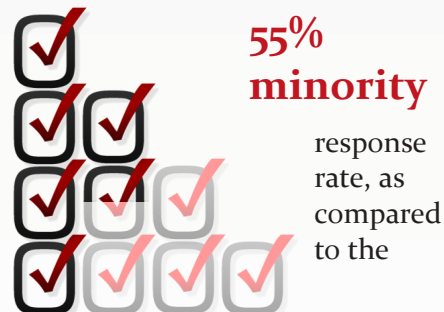
Demographics

Characteristics of the respondent that are independent of the firm. They are the quantifiable statistics of a given population used to identify stratified sampling frames (subgroups) that characterize the population.

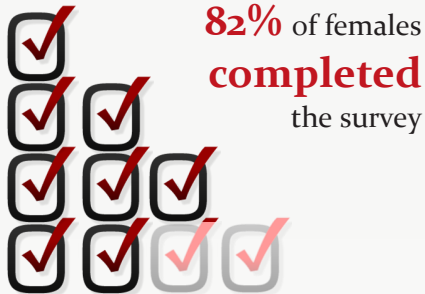
Firmographics

Characteristics of the participant in relation to the organization (or firm) in which they work.

Survey results corresponded well to the census, except for the



According to the census,



...and 76% of males completed the survey



tion group.

The firmographic census indicated that individuals in Pay Grades 9 or above had a 98% survey response rate, as compared to the 68% response rate of individuals in lower Pay Grades.

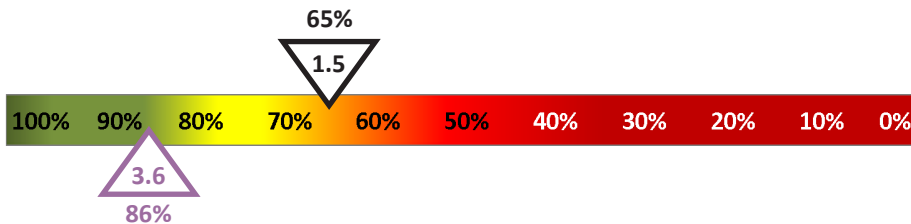
The Survey Results by Question section provides the numbers and percentage splits among the census and actual survey responses. For example, assuming all employees answered this gender correctly, 77 out of 94 female and 218 out of 288 male employees participated in the survey.

	CRITERIA	CENSUS	Survey Responses	% Response vs. Census
Gender	Male	288	218	76%
	Female	94	77	82%
	TOTAL	382	295	77%

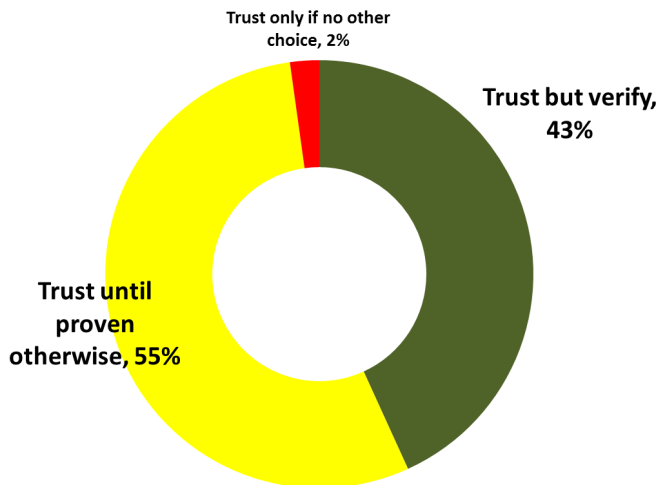
An example of how this data is applied to analyzing selected questions is depicted on page 27 of this analysis. Assessing level of agreement on a 7 point scale to the statement, “Company XYZ is an Ethical Company,” yielded differences worth exploring in levels of agreement among female employees as compared to male employees.

Trust

The average weighted score for the Trust attribute was 1.5 out of a possible 5, or 65%. This represents 21 percentage points less than other companies' average weighted score of 3.6 or 86% (see chart below).



When asked, “How do you tend to trust others at Company XYZ?” 55% of respondents said they “Trust until proven otherwise” [Q 26]. The various demographic slices showed no significant difference in response. See the Recommendations section for a further discussion of the implications of these results.



Trust Definition

Trust is the surrendering of part or all of our will to another.

Key Findings

89% of respondents believe they often or always have the trust of their **colleagues/co-workers**.

84% of respondents believe their **supervisor** often or always trusts them.

75% “often or always” trust their **supervisor** and **74%** often or always trust their **colleagues/co-workers** [Q 27].

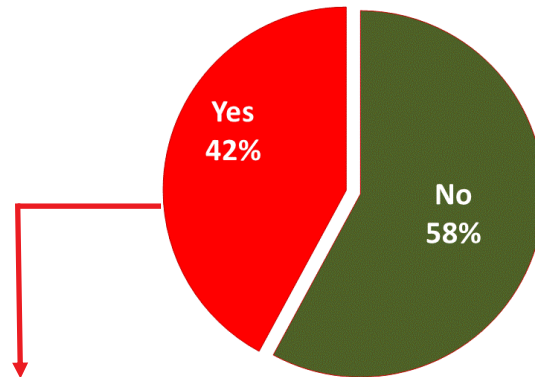


Level of trust within an organization is an enabler to a strong ethical climate. The way employees trust each other may increase the fragility of the trust that forms.

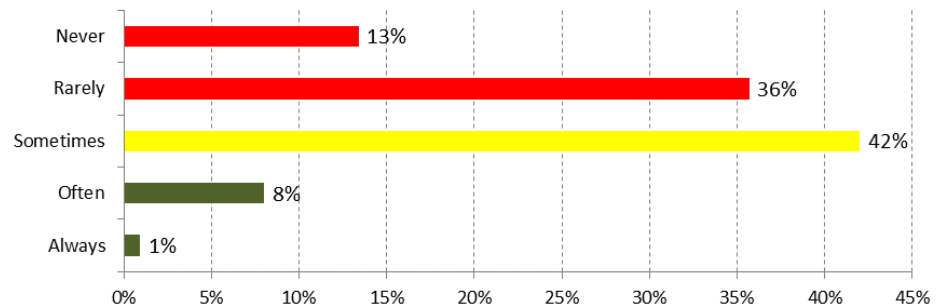
42% of respondents believe their **leaders** have **broken trust** with them.

Yet when trust *was* broken, respondents felt that **leaders** often or always worked to **restore trust 9%** of the time [Q 28].

Have your leaders ever broken trust with you?



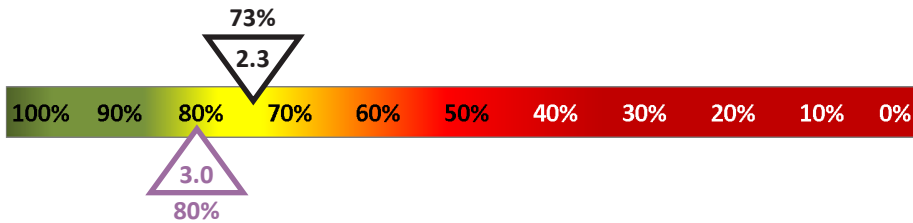
If **YES** ... How frequently did your LEADERS work to RESTORE trust when broken?



Of the 42% of respondents who believe that Company XYZ leaders have broken trust with them, only 9% indicated their leaders worked to restore that broken trust.

Job Knowledge

The average weighted score for the Job Knowledge attribute was 2.3 out of a possible 5, or 73%. This is 7 percentage points less than other companies' average weighted score of 3.0 or 80% (see chart below).



While 88% of respondents believe they possess the knowledge necessary to perform their jobs well and nearly 80% believe they received good training about the rules, regulations and laws applicable to their jobs, still 28% are neutral or *do not* believe they receive the on-going training and support they need to perform their jobs well [Qs 15 & 16].

Job Knowledge Definition

The fact or condition of knowing, having information or of being learned so as to perform your job with proficiency.

Key Findings

82% of respondents stated that they are **provided with the resources** they need to perform their job well.



Employees believe that they possess the **knowledge** necessary to perform their jobs well, **received good training** about the rules, regulations and laws applicable to their jobs, and are provided with the **resources** to perform their jobs well.



28% of respondents are neutral or *do not* believe they receive the on-going training and support they need to perform their job well.

Leadership Definition

Leadership examines the communication relationship between people who are led (followers) and those who lead them (leaders).

The three main functions of leadership are:

- ◆ Identify the aim of the organization
- ◆ Unify the team to achieve this aim
- ◆ Activate the potential of individuals under his or her leadership

Key Findings

A **20% gap** exists between men and women who feel that Company XYZ leaders recognize and reward **excellence**.

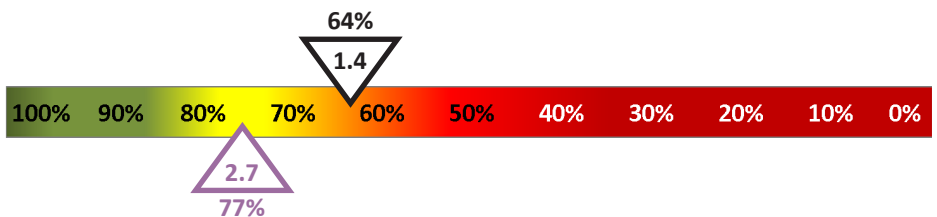
81% of minorities believe that “leaders at Company XYZ are accessible for confidential discussions on ethical issues.”



Minorities are 21% less likely than non-minorities to believe they receive adequate feedback on their performance from their supervisors.

Leadership

The average weighted score for the Leadership attribute was 1.4 out of a possible 5, or 64%. This is 13 percentage points less than other companies’ average weighted score of 2.7 or 77% (see chart below).



Only 50% (38% of females and 54% of males) 50% of non-minority employees and 67% of minorities believed that leaders at Company XYZ are “held to higher standards of performance and conduct” than employees, resulting in a 56% weighted score (22% of respondents did *not* agree that leaders at Company XYZ are held to higher standards of performance and conduct than employees, and 28% remained neutral) [Q 15].

Other notable results:

- ◆ 75% (64% of females and 79% of males) believe that Company XYZ leaders “set a good example of ethical behavior” [Q 16].
- ◆ 57% of non-minority employees and 81% of minorities believe that “leaders at Company XYZ are accessible for confidential discussions on ethical issues that arise in the workplace” [Q 15].
- ◆ 70% (62% of females and 73% of males), 73% of non-minority employees and 52% of minorities believed they “receive adequate performance feedback from their supervisors” [Q 15].
- ◆ 62% (47% of females and 67% of males) feel that Company XYZ leaders “recognize and reward excellence;” 16% remained neutral [Q 15].

Example of Ethics Improvement Process (EIP)

Ethical Attribute: Trust

STEP 1: EXPLAIN

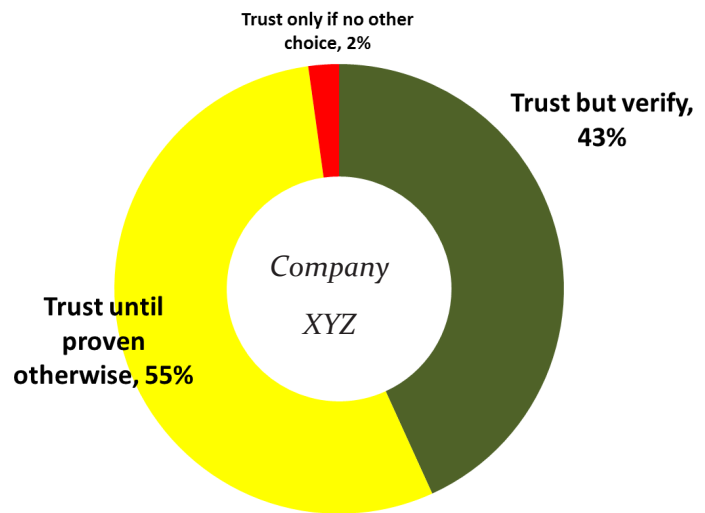
The following results were derived from the EthicsPoll survey for this question: .

How do you tend to trust others at Company XYZ?" [Q 26]

The responses were:

- ◆ 55% trust until proven otherwise
- ◆ 43% trust but verify
- ◆ 2% trust only if no other choice

What does this question mean? What are the biases related to this question?



STEP 2: TRACK

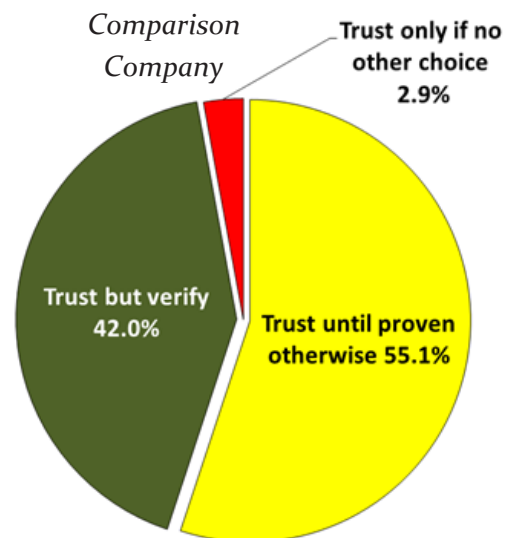
If the measure is reliable (the data is valid), then to what extent are the results good or bad relative to the relative and objective targets set by the organization in aggregate and by demographic or firmographic segment?

This step requires us to first look at how people trust others based on what jobs or tasks people do and who they are (the extent to which we know them).

Our experience with high performing, high maturity work cultures suggests that the *OPTIMAL* trust scores would tend to be as follows:

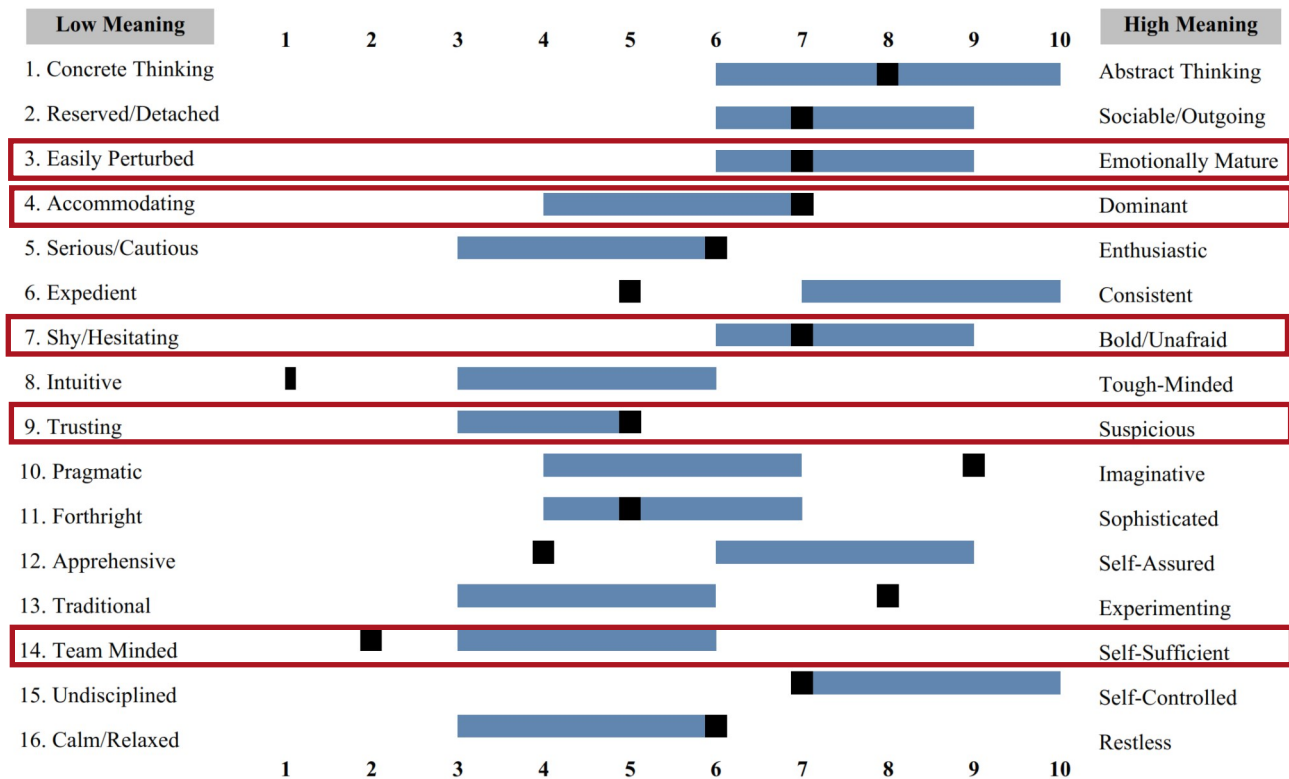
- ◆ 20% to 30% trust until proven otherwise
- ◆ 80% to 70% trust but verify
- ◆ 0% trust only if no other choice

Variations in the responses among the subpopulations could be based on personality factors. While not a part of this assessment, an example of how these personality factors relate to our tendency to trust until proven otherwise, the following factors tend to be correlated with this particular approach



Sixteen Individual Characteristics

The following identifies sixteen individual traits which are separate and distinct. Scores should not be thought of as good or bad in relation to being high or low.



to trusting; i.e.; see characteristics highlighted in the 16PF (personality factors) above.

In addition, for the comparative group of companies or utilizing personality theory to understand some of the underlying results, another important approach determining where differences exist is by comparing sub-groups within the survey respondent sample. For Company XYZ, the demographic and firmographic slices suggest that on the whole, minor differences exist.

